

# **SANDIA REPORT**

**SAND97-2337 • UC-704**

**Unlimited Release**

**Printed September 1997**

## **Smart Packaging for Photonics**

**J. H. Smith, R. F. Carson, C. T. Sullivan, G. McClellan**

**Prepared by**

**Sandia National Laboratories**

**Albuquerque, New Mexico 87185 and Livermore, California 94550**

**Sandia is a multiprogram laboratory operated by Sandia Corporation, a Lockheed Martin Company, for the United States Department of Energy under Contract DE-AC04-94AL85000.**

**Approved for public release; distribution is unlimited.**



**Sandia National Laboratories**

Issued by Sandia National Laboratories, operated for the United States Department of Energy by Sandia Corporation.

**NOTICE:** This report was prepared as an account of work sponsored by an agency of the United States Government. Neither the United States Government nor any agency thereof, nor any of their employees, nor any of their contractors, subcontractors, or their employees, makes any warranty, express or implied, or assumes any legal liability or responsibility for the accuracy, completeness, or usefulness of any information, apparatus, product, or process disclosed, or represents that its use would not infringe privately owned rights. Reference herein to any specific commercial product, process, or service by trade name, trademark, manufacturer, or otherwise, does not necessarily constitute or imply its endorsement, recommendation, or favoring by the United States Government, any agency thereof or any of their contractors or subcontractors. The views and opinions expressed herein do not necessarily state or reflect those of the United States Government, any agency thereof or any of their contractors.

Printed in the United States of America. This report has been reproduced directly from the best available copy.

Available to DOE and DOE contractors from  
Office of Scientific and Technical Information  
PO Box 62  
Oak Ridge, TN 37831

Prices available from (615) 576-8401, FTS 626-8401

Available to the public from  
National Technical Information Service  
US Department of Commerce  
5285 Port Royal Rd  
Springfield, VA 22161

NTIS price codes  
Printed copy: A08  
Microfiche copy: A01

# Smart Packaging for Photonics

**J. H. Smith, R. F. Carson, C. T. Sullivan, and G. McClellan  
edited by D. W. Palmer**

**Microelectronics and Photonics Center  
Sandia National Laboratories  
P.O. Box 5800  
Albuquerque, NM 87185-0874**

## **Abstract**

Unlike silicon microelectronics, photonics packaging has proven to be low yield and expensive. One approach to make photonics packaging practical for low cost applications is the use of "smart" packages. "Smart" in this context means the ability of the package to actuate a mechanical change based on either a measurement taken by the package itself or by an input signal based on an external measurement. One avenue of smart photonics packaging, the use of polysilicon micromechanical devices integrated with photonic waveguides, was investigated in this research (LDRD 3505.340). The integration of optical components with polysilicon surface micromechanical actuation mechanisms shows significant promise for signal switching, fiber alignment, and optical sensing applications. The optical and stress properties of the oxides and nitrides considered for optical waveguides and how they are integrated with micromechanical devices were investigated.

# Contents

Introduction.....	iii
Chapter 1 Monolithic Integration of Waveguide Structures with Surface-Micromachined Polysilicon Actuators.....	1

## Introduction

This report is submitted as a completion requirement for a Sandia LDRD project "Smart Packaging for Photonics" which was performed in fiscal years 1995 and 1996. Richard Carson was the principal investigator during much of this period, but has subsequently left Sandia Laboratories to help activate a small photonics company.

The results of the main thrust of this LDRD work were captured in a formal paper presented at the SPIE annual meeting "Smart Structures & Materials" held in February 1996. This report is based on this formal paper which was published in the Proceedings of the Smart Structures & Materials 1996 on page 75.

**Technical Problem:** Photonics has not swept through the economy in the same way that microelectronics has. The main reason for this much slower growth is the inability to lower the cost per photonics function in the same unrelenting way that microelectronics costs are lowered by a factor of 2 every 18 months. As an example, the typical electrical connection of the Integrated Circuit to a package is made with a fine metal wire. The cost of this connection has decreased to less than \$0.01. The comparable connection cost between a chip LED and a glass fiber output is \$10.

How can micro-optics be made to follow such a downward cost curve? One approach would be to have smart packages. That is packages that would automatically sense where the optical signals are and with micro-mechanical actuators align the signals to the fibers or waveguides.

This report presents the detailed results of work in this direction. Although this approach would only be one of the 100 needed to reduce the expense of photonics, it indicates that such cost reductions are possible at the same time that size reduction and improved performance are achieved.

This technology is viable for the Sandia systems built in the next century.

# **Chapter I**

## **Monolithic integration of waveguide structures with surface-micromachined polysilicon actuators**

### **ABSTRACT**

The integration of optical components with polysilicon surface micromechanical actuation mechanisms shows significant promise for signal switching, fiber alignment, and optical sensing applications. Monolithically integrating the manufacturing process for waveguide structures with the processing of polysilicon actuators allows actuated waveguides to take advantage of the economy of silicon manufacturing. The optical and stress properties of the oxides and nitrides considered for the waveguide design along with design, fabrication, and testing details for the polysilicon actuators are presented.

### **BACKGROUND**

The integration of optical components with micromechanical actuation mechanisms shows significant promise for signal switching, fiber alignment, and optical sensing applications. Monolithically integrating the manufacturing process for waveguide structures with the processing of polysilicon actuators allows actuated waveguides to take advantage of the economy of silicon manufacturing. The interest in integration of micromechanical devices with other structures such as microelectronics is illustrated in a recent overview by Howe<sup>1</sup> and by the commercial success of Analog Device's integrated accelerometer<sup>2</sup>. Recent examples of the application of micromechanical devices to optics can also be found in the literature<sup>3-6</sup>. The eventual goal of this work is to couple recent advancements in actuation mechanisms such as the Sandia Microengine<sup>7,8</sup> to optical waveguides in order to perform optical alignment and switching functions.

There are three principal concerns for integration. First, the stress of the composite structure must be low enough to prevent warping of the underlying polysilicon actuator. Second, the waveguide structure must withstand the micromachining release process. Finally, the waveguide must have acceptable optical properties.

The optical and stress properties of a variety of oxides and nitrides deposited by low pressure chemical vapor deposition have been evaluated in order to optimize the selection of materials and thicknesses for the waveguide design. The waveguide structure itself was designed so that any oxides were completely encapsulated by either nitrides or polymers to prevent etching of these oxides during the sacrificial oxide etch which releases the actuator elements.

The actuated waveguide structures have been fabricated and released. On the initial design, the stress in the polysilicon/waveguide composite was sufficiently low so that curvature of waveguides on cantilever supports was not observed for cantilever lengths below 200  $\mu\text{m}$ .

### **ACTUATORS**

Micromechanical actuators have not seen the wide-spread industrial use that micromechanical sensors have achieved. Two principal stumbling blocks to their widespread application have been low force/torque and difficulty in coupling tools to actuators. In the case of actuators with rotary output, researchers at Sandia<sup>7,8</sup> have developed a three-level polysilicon micromachining process which greatly enhances the ability to manufacture devices with higher torque and with the facility for coupling to tools. Figure 1 illustrates a bearing formed between two layers of mechanical poly in this three level, eight mask process. This process has been applied to the microengine shown in Figure 2. Here, two comb-drive actuators<sup>9</sup> drive a set of linkages to a rotary gear. This gear can be rotated by applying sinusoidal driving forces 90° out of phase with each other to each of the comb-drive actuators. The small gear then drives a larger 1.6 mm diameter gear which carries optical elements, in this case a simple shutter. Operation of the small gears at rotational speeds in excess of 300,000 revolutions per minute and an operational lifetime of  $3.2 \times 10^9$  revolutions have been demonstrated. A rotational speed of 4800 rpm for the 1.6 mm gear has been obtained.

Actuators such as this microengine will be used to position or switch optical waveguides. Ideally, these waveguides will be built as part of the same manufacturing process as the micromechanical components. To date, the work has centered on the evaluation of waveguide materials. Data on these waveguide materials and their behavior when integrated with polysilicon actuators are given below.

## MECHANICAL AND OPTICAL DIELECTRIC FILM PROPERTIES

Both silicon dioxide and silicon nitride dielectric films are commonly used in the fabrication of conventional microelectronic circuits. Their widespread use in fabrication facilities and their compatibility with conventional IC processes make them a particularly attractive set of materials for use as integrated waveguides. Unfortunately, these films are not always ideal mechanical candidates because of their relatively large built-in stresses.

Silicon dioxide glasses typically have a compressive residual stress after deposition while silicon nitride films are usually quite tensile. If a single film is to be deposited on a flexible micromechanical support structure, excessive stress may cause the micromechanical support to bow. The micromechanical support must be stiffened or the net stress in the deposited waveguide must be reduced to prevent this bow. An additional approach not considered here would be to compensate both the stress and the stress gradient in a waveguide by using multiple layers of materials with opposing stresses.

In addition to stress considerations, the fabrication sequence and the vulnerability of dielectric waveguides to chemical attack must be considered. Since silicon dioxide is used in the surface micromachining process as a sacrificial layer and is also used as a waveguide material, the waveguide oxide must be protected during the release etch from exposure to the etchant. We have chosen to overcoat a composite waveguide structure with silicon nitride to protect the silicon dioxide during the release etch. The details of this structure are given in the next section of the paper.

Several combinations of oxide and nitride films commonly available in CMOS lines were chosen for investigation into their suitability for use as waveguides. A composite structure using a nitride on top of an underlying oxide cladding layer were investigated for thin film stress. The stress in this composite structure dictates the size and stiffness of any micromechanical actuator used to position waveguides made from this film. The results of blanket film stresses extracted from wafer bow measurements are given in Figure 3. Of these film stacks, LPCVD low-stress nitride deposited at 850°C from a 4:1 dichlorosilane:ammonia flow on LPCVD TEOS deposited at 700°C proved to be the lowest stress. The overall stress of that system was under 10 MPa. The other oxides considered, 2% Phosphorus-doped glass (PSG) and Silane-TEOS, were both deposited at low temperature (400°C) from a mixture of TEOS and silane (and phosphine for the PSG).

A wider selection of films was investigated for their optical properties needed to design waveguide structures; i.e., index of refraction. These films included the films mentioned previously as well as glasses doped with both boron and phosphorus (BPSG). Figure 4 gives the indices of refraction for various dielectric films measured by Variable Angle Spectroscopic Ellipsometry (VASE) at two wavelengths and prism refractometry at a single wavelength.

From these stress and index of refraction measurements, a composite waveguide structure consisting of 0.2  $\mu\text{m}$  of low-stress silicon nitride on  $\sim 1 \mu\text{m}$  of TEOS was selected for use. Figure 5 is a photograph of bright scattering centers from one of these waveguide structures. Although the stress in these waveguide structures was low, their optical losses were  $>1 \text{ dB/mm}$  as measured with a sliding prism insertion loss technique<sup>10</sup> due to these scattering centers and the high light leakage of the waveguide itself.

Defects present in the nitride film itself or on the surface of the oxide film before nitride deposition are suspect in causing problems with protection of the oxide films during sacrificial etches as well as causing problems by generating light scattering centers within the nitride film. Figure 6 shows a passivated waveguide structure after only a five minutes in the HF-based release etchant (1:1 HF:HCl). Pinholes in the nitride film are evident across the entire sample.

Dielectric film stacks consisting of PSG on TEOS were also measured for their waveguide properties. A loss of only 0.20 dB/cm was obtained for this film stack at 633 nm, measured using a sliding prism insertion loss technique. Although this loss is acceptable for waveguide structures, oxide-only structures are not compatible with the sacrificial technique used for fabrication of the micromechanical devices.

## INTEGRATED MICROMECHANICAL ACTUATOR TEST DESIGN

The actuator chosen for these studies consists of a simple cantilever beam supported at one end with a waveguide at the center of the beam are shown in Figure 7. This cantilever actuator makes evaluation of the stress effects simple to interpret, yet produces a useful type of displacement of the waveguide. The actuator is deflected electrostatically by applying a bias between the cantilever and the silicon substrate. Figure 8 illustrates the complete fabrication process for these devices. A partially completed test structure with two adjoining cantilevers is shown in the SEM of Figure 9. A completed cantilever with waveguide is shown in the optical micrograph of Figure 10.

## CONCLUSIONS / FUTURE DIRECTIONS

A nitride/oxide waveguide composite with low residual stress was identified in this work, but the optical properties of the film stack are too poor to make useful optical devices. Light scattering from defect centers within or near the nitride film were identified as one reason for the poor optical qualities of the composite. These same defects prevented the use of thin nitride films for protection of the oxide during the release etch.

An all-oxide composite structure was identified with more promising optical properties, but this structure was incompatible with the micromachine fabrication sequence (polysilicon/oxide) being used. However, conversion to the highly-tensile, stoichiometric SiN for use in a stress-compensated stack may allow use of this dielectric. The stoichiometric SiN may also have less optical scattering centers and pinholes that plagued the low-stress SiN.

The goal of this research is to obtain low-stress waveguide structures which can be fabricated on top of large micromachined actuators such as the Sandia microengine. This goal is now being pursued by using polymer waveguide structures fabricated after completion of the micromachines, but before their release. The challenge with this approach is finding polymer structures compatible with the aggressive, HF chemistry of the micromechanical release process.

## ACKNOWLEDGMENTS

This work, performed at Sandia National Laboratories, was supported by the U.S. Department of Energy under contract DE-AC04-94AL85000. The process development engineers, operators, and technicians of the Microelectronics Development Laboratory and the Compound Semiconductor Research Laboratory should also be acknowledged for their contributions to the process development, fabrication, and testing of these devices. Special thanks to Jeff Sniegowski and Ernie Garcia for permission for the use of the Sandia microengine in this paper.

## REFERENCES

- [1] R. Howe, "Polysilicon integrated microsystems: Technologies and applications," *Proc. Transducers '95*, pp. 43-46 (1995).
- [2] W. Kuehnel and S. Sherman, "A surface micromachined silicon accelerometer with on-chip detection circuitry," *Sensors and Actuators A*, vol. 45, no. 1, pp. 7-16 (1994).
- [3] L. Fields, D. Burriesci, P. Robrish, and R. Ruby, "Micromachined 1X2 optical fiber switch," *Proc. Transducers '95*, pp. 345-347 (1995).
- [4] P. Deimel, "Micromachined devices for optical applications," *Proc. Transducers '95*, pp. 340-343 (1995).
- [5] L. Hornbeck, "Projection displays and MEMS: Timely convergence for a bright future," *Proc. SPIE Micromachining and Microfabrication '95*, p. 2 (1995).
- [6] K. Hoppe, L. Anderson, and S. Bouwstra, "Integrated Mach-Zehnder Interferometer Pressure Transducer," *Proc. Transducers '95*, pp. 590-591 (1995).
- [7] J. Sniegowski and E. Garcia, "Microfabricated actuators and their applications to optics", *Proc. of SPIE Micro-Optics/Micromechanics*, Vol. 2383, pp. 46-64, 1995.
- [8] J. Sniegowski and E. Garcia, "Surface-micromachined geartrains driven by an on-chip electrostatic microengine," submitted to *IEEE Electron Device Letters*.
- [9] W. Tang, T-C. Nguyen, and R. Howe, "Laterally driven polysilicon resonant microstructures," *Sensors and Actuators*, vol. 20, pp. 25-32 (1989).



[10] W. Holland, "Fabrication and characterization of polymeric lightwave devices," in *Polymers for Lightwave and Integrated Optics*, L. Hornak (ed.), Marcel Dekker: New York, pp. 397-431 (1992).

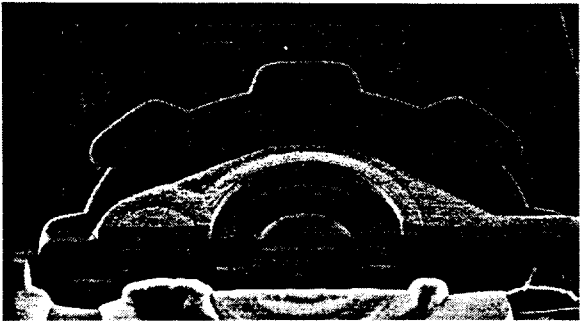


Figure 1. A focused ion-beam cross-sectional image of a gear produced with the MDL's three level polysilicon process.

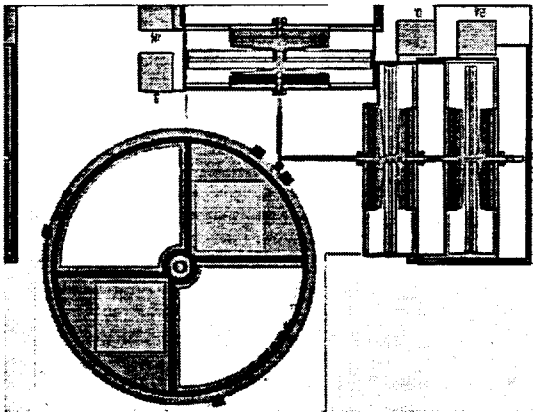


Figure 2. Two sets of linear comb-drive actuators driving the gear shown in Figure . This smaller gear drives a 1.6 mm diameter shutter in the lower left of the photo.

Film	TEOS	TEOS (silane)	2% PSG
Post-Glass Stress (MPa)	<10	135 (comp.)	130 (comp.)
Final Composite Stress (MPa)	<10	35 (tens.)	100 (comp)

Figure 3. Film stress measurements extracted from pre- and post-deposition wafer bow measurements for three composite waveguide structures. The stress in the TEOS stacks was less than the uncertainty in the stress measurement. The composite stress consists of ~ 1  $\mu\text{m}$  of glass covered with 0.2  $\mu\text{m}$  of low-stress silicon nitride.

Material	Thermal Oxide	TEOS	Silane-TEOS	2% PSG	1%/4% BPSG	5%/5% BPSG	PECVD Nitride
----------	---------------	------	-------------	--------	------------	------------	---------------

Technique (Wavelength)							
VASE (859 nm)	1.455	1.441	1.459	1.463	1.462	1.466	1.933
VASE (633 nm)	1.459	1.445	1.464	1.467	1.469	1.469	1.961
Prism Refractometer (633 nm)	1.457	1.438	1.463	1.461	NA	1.463	1.968

Figure 4. Index of refraction of dielectric materials measured at two wavelengths by two techniques (Variable Angle Spectroscopic Ellipsometry and prism refractometer technique). The measurement uncertainties for the VASE technique are  $\pm 0.001$ . The prism refractometer technique had a significantly wider uncertainty.

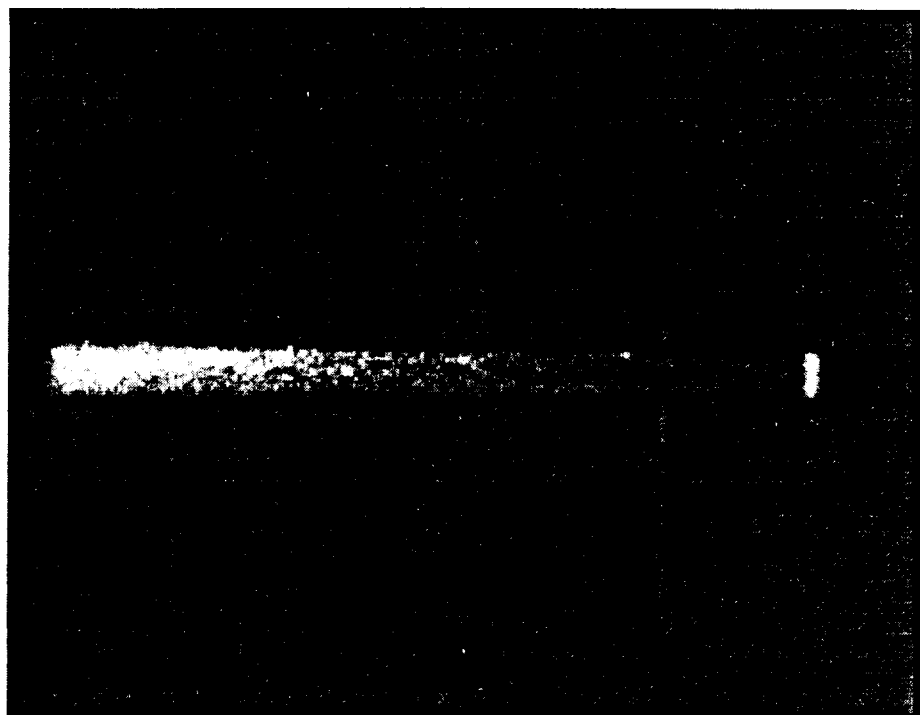


Figure 5. Optical scattering (859 nm) from a 1 mm long, nitride/oxide composite waveguide. A high density of film defects are evident from the bright scattering centers shown in the photograph.

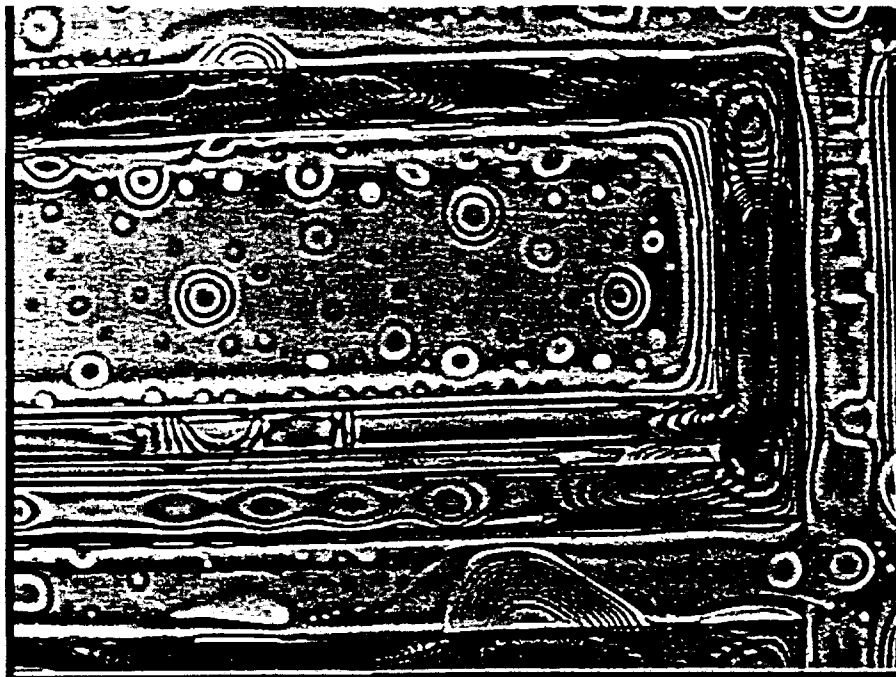


Figure 6. Example of chemical attack of the waveguide structure during the micromechanical release etch due to pinholes in the passivating nitride film. This device is non-functional due to the large number of pinholes.

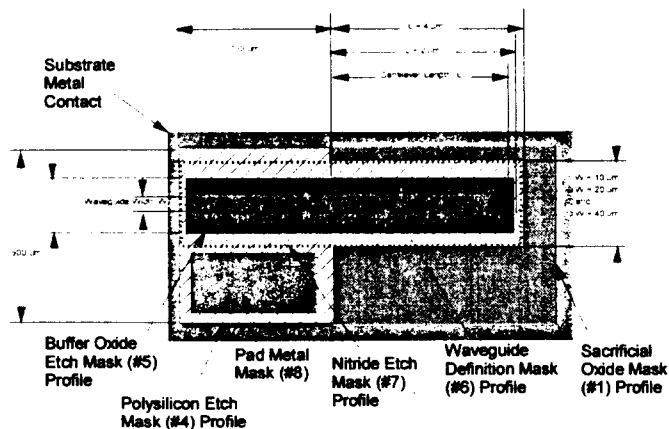


Figure 7. Layout, dimensions, and design rules of cantilevered waveguide test structures.

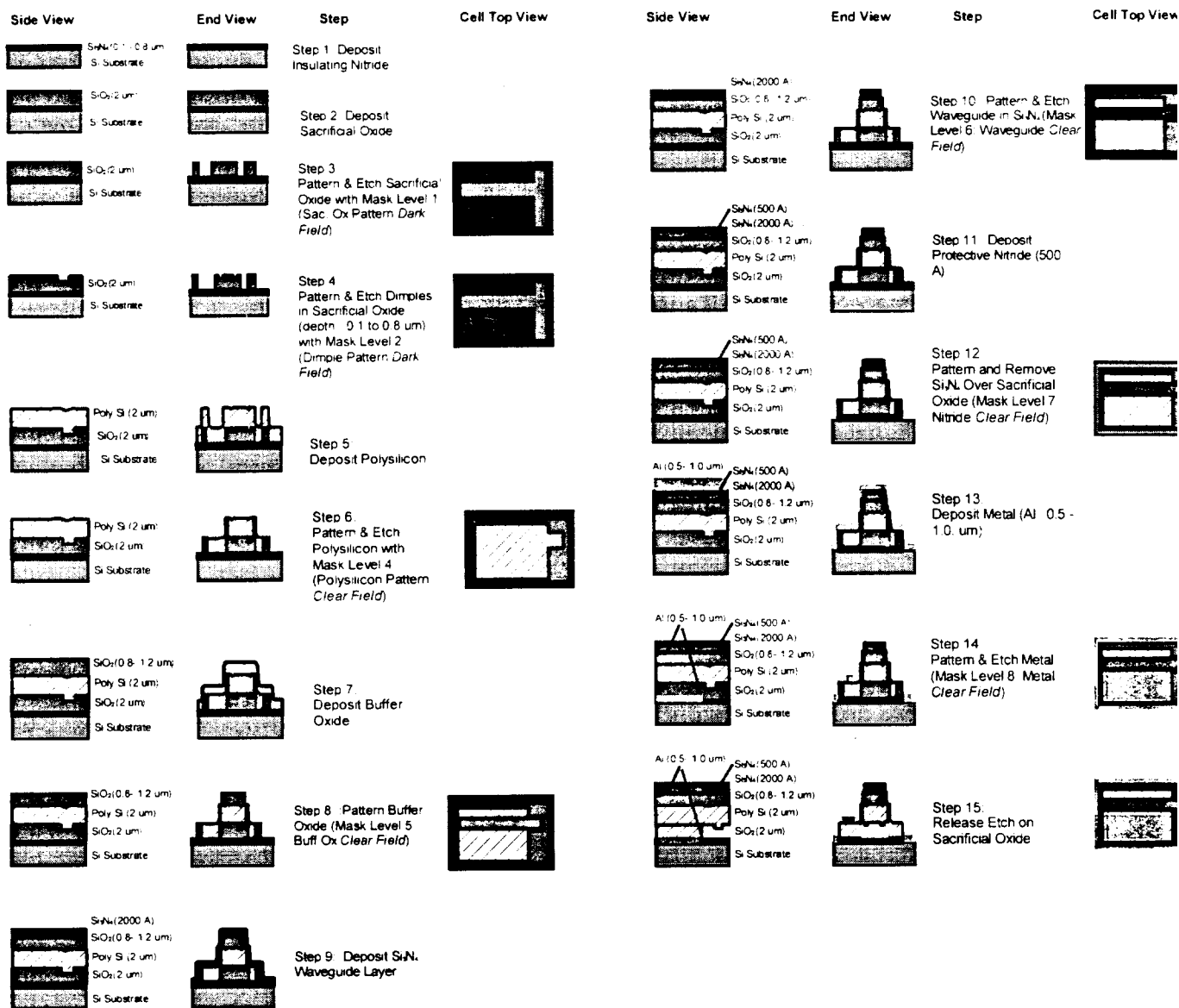


Figure 8. Fabrication sequence and cross section of a micromechanical device with monolithically integrated waveguide structure.

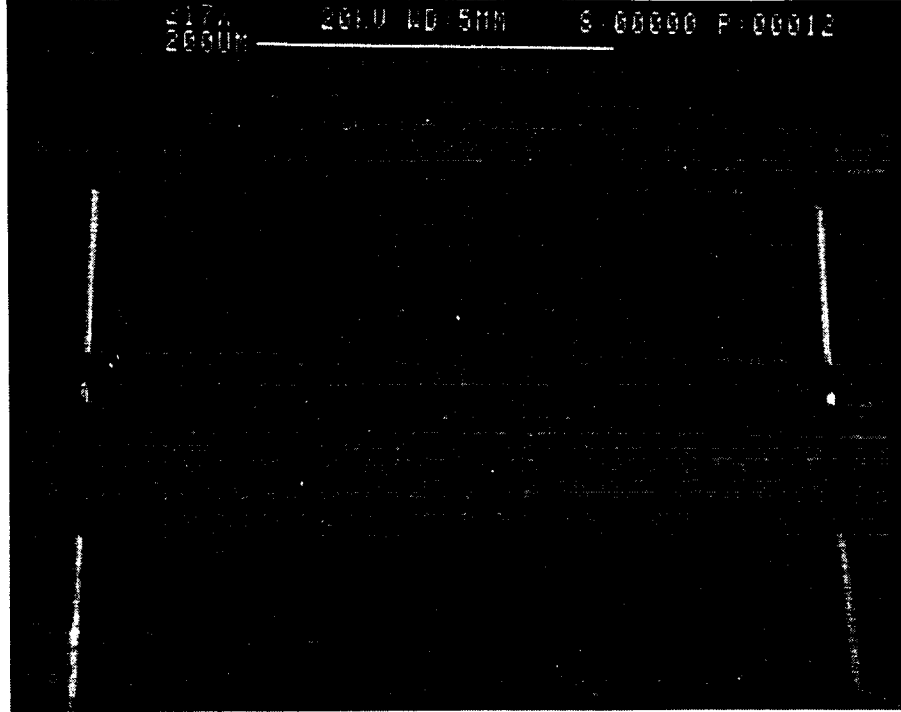


Figure 9. An SEM of two adjoining cantilevers released prior to waveguide deposition arranged to form a simple test/switching structure for waveguides.

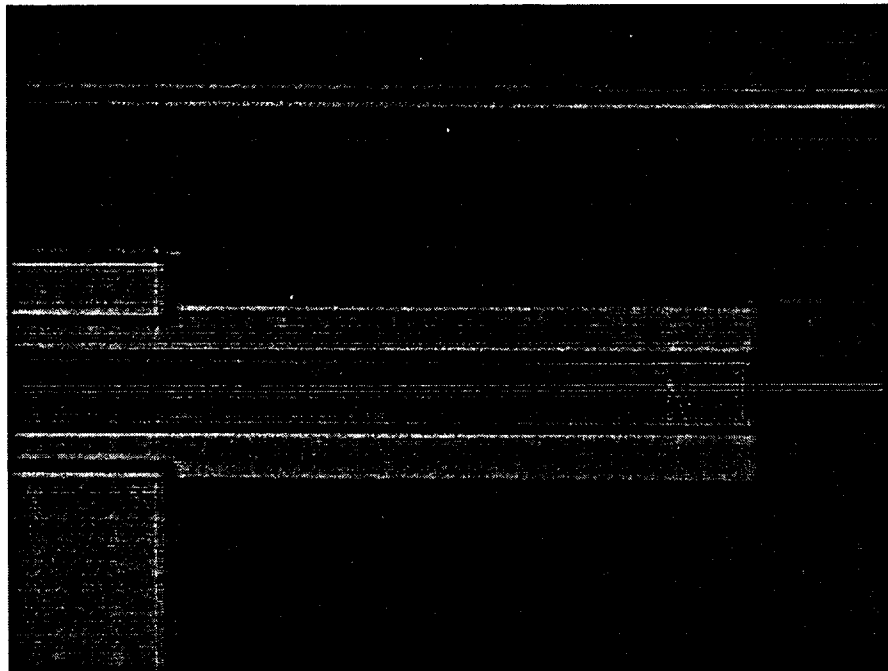


Figure 10. An optical micrograph of a completed polysilicon cantilever with an attached, encapsulated waveguide. This structure was fabricated by increasing the thickness of the passivating nitride layer from  $0.05\ \mu\text{m}$  to  $0.1\ \mu\text{m}$ .

## Distribution

Copy	Org	Name	Mailstop
1	01300	Romig, Alton D.	1079
1	01301	Rohr, Donald F.	1077
1	01315	Smith, J. H.	1080
1	01313	Sullivan, C. T.	0603
1	01314	McClellan, G.	0603
1	01342	Palmer, D. W.	0874
5	04916	Technical Library	0899
1	04523	Meyers, Chuck	1436
2	12690	Review & Approval Desk for DOE/OSTE	0619
1	08940-2	Central Technical Files	9018